



#3

Attorney Docket No. 016703-000800

## DECLARATION

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **THE COMBINATORIAL SYNTHESIS OF NOVEL MATERIALS** the specification of which \_\_\_ is attached hereto or X was filed on 4/22/97 as Application No. 08/847,967 and was amended on \_\_\_ (if applicable).

I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign applications(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

## Prior Foreign Application(s)

Country	Application No.	Date of Filing	Priority Claimed Under 35 USC 119
			Yes _ No _
			Yes _ No _

I hereby claim the benefit under Title 35, United States Code §119(e) of any United States provisional application(s) listed below:

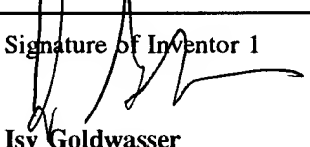
Application No.	Filing Date

I claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application No.	Date of Filing	Status
08/327,513	10/18/94	_ Patented <u>X</u> Pending _ Abandoned
08/438,043	5/8/95	_ Patented <u>X</u> Pending _ Abandoned
WO 95/13278	10/18/95	_ Patented <u>X</u> Pending _ Abandoned

Full Name of Inventor 1	Last Name <b>GOLDWASSER</b>	First Name <b>ISY</b>	Middle Name or Initial	
Residence & Citizenship	City <b>Menlo Park</b>	State/Foreign Country <b>California</b>	Country of Citizenship <b>U.S.A.</b>	
Post Office Address	Post Office Address <b>435 Encinal Avenue, Apt. C</b>	City <b>Menlo Park</b>	State/Country <b>California</b>	Zip Code <b>94025</b>
Full Name of Inventor 2	Last Name <b>ROSS</b>	First Name <b>DEBRA</b>	Middle Name or Initial <b>A.</b>	
Residence & Citizenship	City <b>Arnold</b>	State/Foreign Country <b>California</b>	Country of Citizenship <b>U.S.A.</b>	
Post Office Address	Post Office Address <b>P.O. Box 6235</b>	City <b>Arnold</b>	State/Country <b>California</b>	Zip Code <b>95223</b>
Full Name of Inventor 3	Last Name	First Name	Middle Name or Initial	
Residence & Citizenship	City	State/Foreign Country	Country of Citizenship	
Post Office Address	Post Office Address	City	State/Country	Zip Code

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

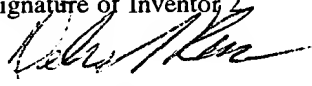
Signature of Inventor 1  <b>Isy Goldwasser</b>	Signature of Inventor 2  <b>Debra A. Ross</b>	Signature of Inventor 3
Date <b>11/17/97</b>	Date	Date

DEC.MRG 7/97

F:\DATA\PSVPTOD\EGW\73599.1

Full Name of Inventor 1	Last Name <b>GOLDWASSER</b>	First Name <b>ISY</b>	Middle Name or Initial	
Residence & Citizenship	City <b>Menlo Park</b>	State/Foreign Country <b>California</b>	Country of Citizenship <b>U.S.A.</b>	
Post Office Address	Post Office Address <b>435 Encinal Avenue, Apt. C</b>	City <b>Menlo Park</b>	State/Country <b>California</b>	Zip Code <b>94025</b>
Full Name of Inventor 2	Last Name <b>ROSS</b>	First Name <b>DEBRA</b>	Middle Name or Initial <b>A.</b>	
Residence & Citizenship	City <b>Arnold</b>	State/Foreign Country <b>California</b>	Country of Citizenship <b>U.S.A.</b>	
Post Office Address	Post Office Address <b>P.O. Box 6235</b>	City <b>Arnold</b>	State/Country <b>California</b>	Zip Code <b>95223</b>
Full Name of Inventor 3	Last Name	First Name	Middle Name or Initial	
Residence & Citizenship	City	State/Foreign Country	Country of Citizenship	
Post Office Address	Post Office Address	City	State/Country	Zip Code

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

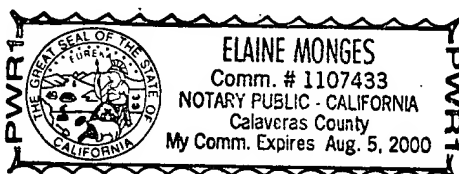
Signature of Inventor 1  <b>Isy Goldwasser</b>	Signature of Inventor 2  <b>Debra A. Ross</b>	Signature of Inventor 3
Date	Date <b>Nov. 14, 1997</b>	Date

DEC.MRG 7/97

F:\DATA\PS\PTOD\EGW\73599.1

*Subscribed and sworn to Nov. 14, 1997*

*Elaine Monges*



VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(c)) - SMALL BUSINESS CONCERNApplicant or Patentee: ISY GOLDWASSER, et al.Application or Patent No.: 08/847,967Filed or Issued: April 22, 1997Title: THE COMBINATORIAL SYNTHESIS OF NOVEL MATERIALS

I hereby declare that I am

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Symyx Technologies  
ADDRESS OF SMALL BUSINESS CONCERN 3100 Central Expressway  
Santa Clara, CA 95051

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled THE COMBINATORIAL SYNTHESIS OF NOVEL MATERIALS by inventor(s) Isy Goldwasser, et al. described in

- ☐ the specification filed herewith  
☒ Application No. 08/847,967, filed April 22, 1997  
☐ Patent No. \_\_\_\_\_, issued \_\_\_\_\_

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern that would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING  
TITLE OF PERSON IF OTHER THAN  
OWNER  
ADDRESS OF PERSON SIGNING

Isy Goldwasser  
V.P. Corporate Development  
Symyx Technologies  
3100 Central Expressway  
Santa Clara, CA 95051

SIGNATURE

DATE

4/17/97

**DECLARATION**

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **THE COMBINATORIAL SYNTHESIS OF NOVEL MATERIALS** the specification of which \_\_\_ is attached hereto or X was filed on 4/22/97 as Application No. 08/847,967 and was amended on \_\_\_ (if applicable).

I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign applications(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

**Prior Foreign Application(s)**

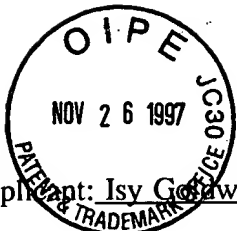
Country	Application No.	Date of Filing	Priority Claimed Under 35 USC 119
			Yes _ No _
			Yes _ No _

I hereby claim the benefit under Title 35, United States Code §119(e) of any United States provisional application(s) listed below:

Application No.	Filing Date

I claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application No.	Date of Filing	Status
08/327,513	10/18/94	_ Patented <u>X</u> Pending _ Abandoned
08/438,043	5/8/95	_ Patented <u>X</u> Pending _ Abandoned
WO 95/13278	10/18/95	_ Patented <u>X</u> Pending _ Abandoned



016703-000800

CERTIFICATE UNDER 37 C.F.R. § 3.73(b)Applicant: Isy Goldwasser, et al.Application No.: 08/847,967 Filed: April 22, 1997For: THE COMBINATORIAL SYNTHESIS OF NOVEL MATERIALSSymyx Technologies, a corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame(s) \_\_\_\_\_, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

The undersigned has reviewed all the documents in the chain of title of the patent application identified above and, to the best of undersigned's knowledge and belief, title is in the assignee identified above.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date : 11/17/97Name : Isy GoldwasserTitle : V.P. of Corporate DevelopmentSignature : [Signature]